

06-05-01

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# UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
VREX-0020USAONOOTotal Pages in this Submission  
43**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

**METHOD FOR MANUFACTURING A 3D IMAGE DISPLAY BODY AND FILM FOR USE  
IN FORMING 3D IMAGE DISPLAY BODY**

and invented by:

**Sadeg M. FARIS, David C. SWIFT, Le LI, Adam W. DIVELBISS, Kazuo MAEDA, Yoshihiro YOSHIHARA**If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 9 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☒ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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## Application Elements (Continued)

3. ☒ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☐ Formal      b. ☒ Informal      Number of Sheets 1
4. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy)      ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☐ With Power of Attorney      ☒ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied  
under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.
6. ☐ Computer Program in Microfiche
7. ☐ Genetic Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☐ Assignment Papers (cover sheet & documents)
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee)
10. ☒ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement/PTO-1449      ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class      ☒ Express Mail (Specify Label No.): EL608424758US

**UTILITY PATENT APPLICATION TRANSMITTAL**  
**(Small Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
**VREX-0020USAONOO**

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**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. ☒ Small Entity Statement(s) - Specify Number of Statements Submitted: **I hereby certify that this application is filed on behalf of a small entity (1)**
17. ☒ Additional Enclosures *(please identify below):*

**(17a) Copy of Original Japanese Application**  
**(17b) Translation of Original Japanese Application**  
**(17c) Petition for Retroactive Foreign License**

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

18. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

**An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.**

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(Only for new nonprovisional applications under 37 CFR 1.53(b))

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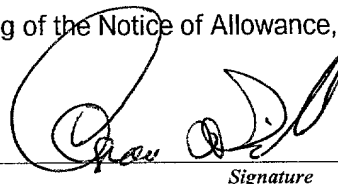
## Fee Calculation and Transmittal

### CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	7	- 20 =	0	x \$9.00	\$0.00
Indep. Claims	4	- 3 =	1	x \$40.00	\$40.00
Multiple Dependent Claims (check if applicable) <input checked="" type="checkbox"/>					\$135.00
BASIC FEE					\$355.00
OTHER FEE (specify purpose) <u>Petition for Retroactive License</u>					\$130.00
TOTAL FILING FEE					\$660.00

- ☐ A check in the amount of \_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **501648** as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of **\$660.00** as filing fee.
- ☐ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: **June 4, 2001**

  
Signature

**Gerow D. Brill**  
Reg. No. 34,554  
Reveo, Inc.  
85 Executive Boulevard  
Elmsford, NY 10523  
(914) 345-9555

cc:

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Sadeg M. Faris et al.**

Docket No.

**Vrex - 0020USAONOO**

Serial No.

N/A

Filing Date

**June 4, 2001**

Examiner

N/A

Group Art Unit

N/A

Invention: **METHOD FOR MANUFACTURING A 3D IMAGE DISPLAY BODY AND FILM FOR USE  
IN FORMING 3D IMAGE DISPLAY BODY**

I hereby certify that this **Non-Provisional Application & Petition for Retroactive License**

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on **June 4, 2001**

(Date)

**Sylvia Gonzalez**

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

**EL608424758US**

("Express Mail" Mailing Label Number)

**Note: Each paper must have its own certificate of mailing.**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF Faris et al.

Serial No. TBD

Filed: June 4, 2001

Group Art Unit: TBD

Title: METHOD FOR MANUFACTURING 3D IMAGE DISPLAY BODY AND  
FILM FOR USE IN FORMING 3D IMAGE DISPLAY BODY

Examiner: TBD

Attorney Docket VREX-0020USANO00

**PETITION FOR RETROACTIVE LICENSE**

(35 CFR 5.25)

Commissioner of Patents  
(Attention Licensing & Review)  
Washington DC 20231

06/08/2001 SZEWDIE1 00000013 501648 09873509  
03 FC:122 130.00 CH

Honorable Sir:

This petition for a retroactive license is being filed for the above-identified application under 35 USC 184 and CFR 5.25.

A Japanese licensee on behalf of the inventors previously filed the material for the above application in Japan and Korea. The filing particulars are:

Japan Serial Number 11-168957 June 15, 1999

Japan Serial Number 2000-174888 June 7, 2000

Japan Laid open # 2001-59949 March 6, 2001

Korea Serial Number 10-2001-0002052 January 13, 2001

Copies of the 170758 Japanese application and a translation are attached. The material in the 1999 application is essentially the same.

**DECLARATION**

This is a declaration and averment that the subject matter was not under a secrecy order at the time it was filed abroad, and that it is not currently under secrecy order.

The undersigned learned of the existence of the Japanese applications on or about January 21, 2000 from two of the inventors, David Swift and Adam Divelbiss upon their return from visiting Arizawa Corporation in Japan. Arizawa Corporation is a licensee of certain micropolarizer technology from VRex Inc., the prospective assignee of the above-

identified application. I was informed at that time that the Japanese applications had been filed in June 2000. After some effort, I obtained Japanese versions of the application and had it translated into English. A copy of the original Japanese and the translation are enclosed.

In the process of preparing the above identified US application I learned from Mr. Takeshi Yoshii, the Japanese Patent Attorney that represents Arizawa of the 1999 Japanese filing and the Korean filing identified above. This is to aver that I nor any employee of VRex Inc. or Reveo Inc. (VRex's parent) had any knowledge of these filings until January 2001.

The Japanese inventors and the Arizawa Corporation first learned of the technology identified in these applications as the result of meetings in the United States at the headquarters of Reveo, Inc. That took place on or about April 1999. Despite regular contacts between Reveo and VRex employees with Arizawa employees, the US inventors and the assignee had no knowledge of the foreign filings prior to 2001.

The undersigned further avers that the Japanese and Korean filings without the knowledge of the US inventors, was an error on the part of the Japanese inventors and they were done without any deceptive intent by any of the parties. As outlined above, the US inventors had no knowledge of these filings prior to January of this year.

Please charge Deposit Account 501648 the fee under 37 CFR 1.17(h) (\$130.00)

The undersigned respectfully submits that there has been a showing of facts beyond a mere allegation of action through error and without deceptive intent.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 USC. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued therein.

[illegible]

Respectfully submitted,

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Dated: June 4, 2001